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ABSTRACT

Guidelines detail the procedures for applications and proposals for project grants under Title I and III of the Library Services and Construction Act (LSCA)--grants intended to expand public library services, aid libraries for the institutionalized and handicapped, and support efforts at interlibrary cooperation. The guidelires provide: (1) background information about the purpose of the project grants program, LSCA project types and priorities, criteria used to judge project proposals, eligibility, matching funds necessary under the act, and application periods; (2) application procedures, including preliminary proposal, review by the State Advisory Council on libraries, and possible follow-up and/or final proposal; (3) proposal format; (4) federal grant requirements and procedures, including determination of grant year, funding, final reports, progress reports, interim reports, extensions and evaluation. (EMH/KVR)

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ED129236

PROJECT GRANTS PROGRAM

UNDER THE

LIBRARY SERVICES AND CONSTRUCTION ACT
(PUBLIC LAW 91-600)

GUIDELINES FOR APPLICATIONS AND PROPOSALS

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

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Connecticut State Library
Department of Planning, Audit-Review and Research
231 Capitol Avenue
Hartford, Connecticut 06115

June 1976

IR 004 012

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I. GENERAL BACKGROUND AND REQUIREMENTS

A. Authorization

Project grants are authorized and made available under Titles I and III of the Library Services and Construction Act (LSCA) (Public Law 91-600), as amended. Regulations governing the administration of the program are contained in the *Code of Federal Regulations*, Title 45, Chapter I, Part 130. Title I provides support for programs in public library services, as well as for library services to the institutionalized and to the blind and physically handicapped. Title III provides support for programs of cooperation among various types of libraries.

B. Purpose of the Project Grants Program

The purpose of the grants program is to provide support for projects and activities which will lead to more effective library and information service for the State of Connecticut. Projects oriented toward cooperative practices encompassing regional and Statewide service patterns are encouraged, as are those designed to develop new and improved methods of operation on the local level. Specific project types, criteria, and eligibility requirements are listed below.

C. LSCA Project Types and Priorities

The basic priorities of the LSCA Program and specific project types are described in the regulations. These are listed below as examples of the types of projects which may be submitted.

(1) Work with the disadvantaged (Black, Spanish-speaking, migrants, and other minority groups; economically and culturally disadvantaged).

(2) Strengthening the state library administrative agency.

(3) Metropolitan libraries serving as national, regional or state resource centers.

(4) Aid to libraries serving populations of less than 15,000.

(5) Services to the blind and physically handicapped.

(6) Services to the institutionalized.

(7) Interlibrary cooperation; cooperating library service units.

(8) Right-to-read projects; working with functional illiteracy.

(9) Services to the aged.

(10) Management improvement (e.g., delivery systems).

(11) Adult education.

(12) Career education.

(13) Drug Abuse education.

(14) Environmental education.

(15) Early childhood education.

(16) Model cities.

(17) Services to persons with limited English-speaking ability.

(18) Other.

D. Criteria

The following criteria will be used where applicable in judging the merits of all project proposals:

(1) The need for the proposed activity in the area to be served by the project;

(2) Relevance of the project's goals and objectives to the needs identified;

(3) Availability of adequate staff, facilities, and resources to effectively carry out the project;

(4) Reasonableness of estimated costs in relation to the anticipated results of the project;

(5) Expected potential for utilizing the results of the project in other projects and programs of a similar nature;

(6) Statewide, regional and/or local implications of the project;

(7) Sufficiency of size, scope, and duration of the project so as to insure productive results;

(8) Soundness of proposed plan of operation including consideration of the extent to which:

a. the objectives of the project are sharply defined, clearly stated, capable of being attained by the proposed procedures, and capable of being measured;

b. provision is made for adequate evaluation of the effectiveness of the project and for determining the extent to which the objectives are accomplished;

c. where appropriate, provision is made for satisfactory in-service training connected with project services; and

d. provision is made for disseminating the results of the project and for making materials, techniques, and other outputs available to the general public and specifically to those concerned with the area of librarianship with which the project itself is concerned.

(9) Contribution of the project to the total program of the applicant.

In addition to the above, the following criteria will be used in judging the merits of proposals seeking funds to continue projects which have been previously funded under this program:

(1) The extent to which the applicant demonstrates, by technical and evaluation reports, products, and other objective evidence, that the proposed project has been successful in meeting stated objectives and identified needs; and

(2) The extent to which services, techniques, and new knowledge resulting from the project have been adopted or utilized by others.

E. Eligibility

Those eligible to apply for grants under this program are designated in the regulations and include public libraries; public library related organizations, such as trustee groups and professional associations; regional library cooperative groups; the State Library; and those agencies providing library services to the institutionalized, and to the blind and physically handicapped. Other types of libraries may also apply if their proposed projects involve public library participation and cooperation.

F. Matching Funds

In general matching funds are required at a ratio of $2.00 from local sources for every $1.00 of Federal funds granted. Local matching funds may be made up of cash and in-kind contributions (see definitions in Section III, C, Part IV below). Where in-kind contributions are used, they should not exceed one-half of the total matching funds.

This requirement for matching funds may be waived, or the ratio lowered, in cases where extreme need is demonstrated, or where a project will have greater impact on a regional or Statewide level.

G. When to Apply

Applications may be submitted at any time during the first nine months of any Fiscal Year for funding during the next Fiscal Year (for example, for a project anticipated to begin on July 1, 1977, project proposals may be submitted any time during the period July 1, 1976 through March 31, 1977). All proposals will be considered as they are received. Awards will be announced in May.

H. Awards

There is no established limit to the amount of an award for any particular project.

I. How to Apply

Detailed application procedures are provided in Section II following.

II. APPLICATION PROCEDURES

Applications for grants under this program will involve a two-stage submission and review process, as follows:

A. Preliminary Proposals -- Using the attached form as page one, the applicant should submit a three to five page description (typewritten and double-spaced) of the proposed project. This should be in narrative form and should contain the following four kinds of information: (a) a statement of the need which the project will address; (b) a description of the project and its expected outcomes or accomplishments; (c) a description of how objectives are to be met; and (d) a description of the project's regional or Statewide impact if applicable. The narrative should also contain a brief description of the estimated total cost of the project, indicating anticipated sources of funding, and the nature and amounts of major expenditures.

Submission of Preliminary Proposal -- Sixteen (16) copies of the preliminary proposal should be submitted to:

Department of Planning, Audit-Review and Research
Connecticut State Library
231 Capitol Avenue
Hartford, Connecticut 06115

Review by the State Advisory Council on Libraries -- This preliminary proposal will be reviewed by the State Advisory Council on Libraries for the purpose of determining whether or not a full proposal is warranted.

Follow-Up -- Following this review the applicant will be contacted by the State Library to discuss the Council's decision, and to advise the applicant on necessary follow-up activity.

B. Final Proposals -- If the submission of a final proposal is invited by the Advisory Council, the applicant should then develop the proposal following the format given in Section III below.

State Library Assistance -- The applicant is encouraged to request the assistance of the State Library for advice during any aspect of the preparation of the final proposal.

Review by the State Advisory Council on Libraries -- When submitted, the final proposal will be reviewed by the Council, which will make recommendations for approval or disapproval based upon the criteria described in Section I above.

Review by the State Library Board -- The State Library Board will then review the recommendations of the Council and make final announcements of grant awards.

PLEASE NOTE THAN AN INVITATION TO SUBMIT A FINAL PROPOSAL DOES NOT INDICATE PRIOR APPROVAL OF A GRANT AWARD BY THE STATE ADVISORY COUNCIL OR THE STATE LIBRARY BOARD.

III. PROPOSAL FORMAT

NOTE: Please read through all of the following instructions before the actual preparation of your proposal.

A. Preparation of the Proposal -- Since the proposal will be considered primarily in terms of the information it contains, its careful preparation cannot be overemphasized. It should contain the required information and should describe the planned program in such a way as to enable the reviewer(s) to understand clearly what is planned. In general, the proposal should be prepared by the prospective project director with any necessary assistance from staff on program content and fiscal matters.

B. Organization of the Proposal - Summary

1. Parts to be included:

Part I. Summary Cover Sheet

Part II. Abstract

Part III. Body of the Proposal

Part IV. Budget

Part V. Assurances and Conditions

C. Organization of the Proposal - Detailed Instructions and Forms

Part I. Summary Cover Sheet -- This sheet serves as a detailed identification for the proposed project. It should be completed on the attached form. The original copy should be manually signed by the project director and the appropriate authorizing official. All items *must* be completed.

1. Name of person preparing the proposal and to whom questions concerning it may be addressed. In most cases this will be the project director.

2-3. Name, address, phone number where this person can be reached. In most cases this will also be the project headquarters and/or the primary location for the project activity.

4. Insert numbers of districts called for.

5. Indicate type of organization as follows: public, school, special, or academic library;

library or trustee association; library cooperative or system.

6. Indicate the title of the project.

7. Indicate any special groups to be served, - e.g., minority, non-English speaking, elderly, etc. If no special target groups are involved, indicate General Population.

8. Indicate here which, if any, of the LSCA project types the project is designed to meet. (See pages 1 and 2 for an explanation of these project types.)

9. Check the appropriate area which the project is designed to serve.

10. Indicate projected beginning and ending dates for the project.

11. Indicate here totals for each category of available funds. These should be taken from line 8 of the project budget as given in Part VI.

12-13. Both the project director and the authorizing official should sign this cover sheet.

Part II. Abstract -- The abstract should be completed on the attached form. It should be a typewritten, single-spaced statement, *not to exceed one page,* summarizing the proposed project according to its purpose and rationale, its special or unique features, and the reasons why it is worthy of support. This is, in effect, a concise statement of the major elements of the body of the proposal which follows.

Part III. Body of the Proposal -- This part comprises the formal presentation of the proposed project. It is the primary element of the application. As such, it should be written with great care, describing all aspects of the project in detail, and justifying the proposed budget. This should be typewritten and double-spaced on 8 1/2" x 11" paper, and it should be generally consistent with the following outline.

Introduction

(This section should describe the project in terms of its overall purpose, what it hopes to accomplish, its significance and potential impact; it should discuss the background of the project, citing relevant literature where appropriate, and

relating the project to current activity in the field; the rationale or philosophy behind the proposed activity should also be discussed, along with an explanation and justification for any unique or innovative approaches to be taken.)

Need

(This section should clearly define the need the project is intended to meet. Where applicable, the statement should include evidence of and reference to available documentation supporting the existence of the need as defined.)

Objectives

(Objectives are what is meant to be achieved through the project. They should be attainable, practical and measurable within the overall context of the project. Objectives should be worded in clear, concise language, and be as specific and concrete as possible. This is important as the methodology and evaluation will be directly related to the objectives.)

Methodology

(This section should describe the methods to be employed in meeting the objectives. It is often helpful to include a step-by-step timetable along with the methods. This helps to clearly identify priorities and show the chronological development of the project.)

Qualifications

(This section should describe how and why the staff and organization are qualified to successfully carry out the proposed project. All relevant facilities and resources available to the project should be described here as well.)

Evaluation

(This section should describe in detail how the project will be evaluated. The methodology here should include the objective criteria by which the overall success of the completed project will be measured.

It should also include a process for monitoring the progress of the project, thus allowing for readjustment of methods and objectives if and as necessary. Overall, this section should demonstrate a direct relationship to the stated objectives for the project.)

Future

(This section should include a description of the program beyond the initial grant period, anticipated need for future funding, and plans for obtaining such funding.)

Addenda

(Any documentation necessary for an understanding of the proposed project, but that does not belong in the body of the proposal, should be included here.)

Part IV. Budget -- This section should contain a detailed budget projection for the proposed project. It should follow the format of the attached form. Please note the three categories of funding source. These are defined as follows:

Federal - the total amount of LSCA funds being sought through the grant;

Local - non-Federal cash funds available for expenditure for the project - such funds may derive from the organization's operating budget, fund raising drives, contributions from community interest groups, endowment funds, etc;

In-Kind - non-cash contributions provided for the project - these may consist of charges for real property and non-expendable personal property, and the value of goods and services directly benefiting and specifically identifiable to the project - such contributions may not derive from goods or services purchased with other Federal funds.

Please note here that local and in-kind contributions are considered as matching funds for the Federal grant. In general, such matching should approximate a two-to-one ratio, local/in-kind-to-Federal.

Part V. Assurances and Conditions -- The attached form should be completed as indicated.

D. Twenty-five (25) copies of the complete proposal should be submitted to:

Department of Planning, Audit-Review and Research
Connecticut State Library
231 Capitol Avenue
Hartford, Connecticut 06115

IV. FEDERAL GRANT REQUIREMENTS AND PROCEDURES

A. Grant Year

1. The grant year is defined as one year from the date of receipt of grant monies by the library.

2. Unless otherwise stated in the project proposal, it is assumed that all projects will be completed within the grant year.

B. Funds

1. All funds are to be expended during the grant year.

2. All funds are to be expended for only those purposes delineated in the project proposal.

3. An audited fiscal report must be submitted at the termination of the project. This report should show all funds expended for the project regardless of source. This report may be prepared by the library's designated fiscal officer or agency.

4. Unexpended funds or disallowed expenditures must be returned to the State Library.

C. Final Reports

1. A final report is required for all grant projects. It is to be submitted within 30 but not later than 60 days after the project is completed.

2. Contents:

   a. A complete review and analysis of the project. Specifically: describe all aspects of the project, and provide evaluative data on the extent to which it did or did not carry out the goals and objectives set forth in the project proposal.

   b. Assessment of the overall value and impact of the project.

   c. Projections for future activity and direction, based on the results of the project.

   d. Fiscal audit (see item 2c above).

   e. Attachments: publicity materials; articles written about the project; statistical data; questionnaires, survey materials used; booklets, guides, etc., produced as

integral parts of the project; other materials produced as integral parts or by-products of the project.

3. Submit 4 copies of the final report and 4 copies of all attachments.

D. Progress Reports

In general, no formal progress reporting is required. However, general updates would be helpful and can take the form of brief memos, copies of news releases, etc., as they are produced. State Library staff may also visit the project from time to time to observe and discuss the status of the project.

E. Interim Reports

If your project is for more than a year's duration, or if for some reason you find it necessary to seek an extension (see below), an interim report must be made at the end of the first year. This report should contain a summary of activities and accomplishments to date; any changes that may have occurred regarding the goals, objectives, or purposes of the project; any relevant projections or conclusions; and an accounting of funds thus far expended. This report should also be submitted in 4 copies, along with any relevant attachments.

F. Extensions

Projects initially projected for only a year may be extended for good reason. A request for an extension must be made in writing stating the reasons for delay and the length of the extension required.

G. Evaluation

1. Evaluation of projects will be carried out by State Library staff through field visits to observe project activity, interviews with project personnel, interviews with or surveys of target populations, and other appropriate means.

2. In appropriate instances, outside evaluators may also be invited to participate in evaluations.

3. All evaluations will be accomplished in close coordination with the project director.

H. ERIC

All project directors are asked to give careful consideration

to the possibility of submitting their final reports to the Educational Resources Information Center (ERIC) for possible inclusion in their computer and microfiche files. Further information on ERIC procedures is attached. Submission may be coordinated through the Department of Planning, Audit-Review and Research.

I. Notice of Source of Funds

Please note that all publications related to the project (including final reports and most of the items listed about in section C2e above) must contain a statement indicating the involvement of LSCA funds in the project. The following is suggested:

> *This project was/is supported in part by a grant under Title I of the Library Services and Construction Act (Public Law 91-600, as amended).*

Also, any press releases, news articles, radio interviews, etc., should make some mention of the fact of Federal participation in the project.

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Stanford University
Stanford, CA 94305

(415) 497-3345

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School of Education, Stanford University, Stanford, California 94305 (415) 497-3345

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LSCA PROJECT GRANT

PRELIMINARY PROPOSAL

Date: _____ Fiscal Year: _____

Name: _____

Address: _____

_____ Zip: _____

Phone: _____

Title of Proposed Project: _____

_____

LSCA PROJECT GRANT

SUMMARY COVER SHEET

Date of Application: _____ Fiscal Year: _____

Applicant Information:

(1) Name: _____

(2) Organization: _____

(3) Address: _____

_____ Zip: _____

Phone: _____

(4) U.S. Cong. Dist.: _____ CT Sen. Dist.: _____ CT House Dist.: _____

(5) Type of Organization: _____

Project Information:

(6) Title: _____

(7) Target Population: _____

(8) Project Type Category: _____

(9) Area to be Served: Local: _____ Regional: _____ Statewide: _____

(10) Dates: Beginning: _____ Ending: _____

(11) Budget: Federal: _____ Local: _____ Inkind: _____

Total: _____

(12) Project Director: Authorizing Official:

_____ _____

Name (Typed) Name (Typed)

_____ _____

Title Title

_____ _____

Signature Signature

LSCA PROJECT GRANT

ABSTRACT

Title of Project: _____

LSCA PROJECT GRANT

BODY OF THE PROPOSAL

Title of Project: _____

LSCA PROJECT GRANT

ASSURANCES AND CONDITIONS

The following assurances and conditions are specified in accordance with the Library Services and Construction Act (Public Law 91-600), as amended.

1. The applicant hereby assures that it (check each item):

   _____ a. Has complied with Title VI of the Civil Rights Act of 1964.

   _____ b. Agrees to conduct the project in accordance with the Act, as amended, its governing Regulations, and such insturctions as may be issued from time to time by the U. S. Commissioner of Education.

   _____ c. Agrees to submit reports in such form and containing such information as may be required.

   _____ d. Agrees to maintain adequate accounting and fiscal records on funds received under the Act and will make such records and accounts for audit at any reasonable time.

2. Nothing contained in this proposal shall be construed to authorize any department, agency, officer, or employee of the United States, or of the State of Connecticut, to exercise any direction, supervision, or control over the administration or personnel of any library, or over the selection of library resources by any library.

LSCA PROJECT GRANT

BUDGET

Title of Project: _____

	Federal	Local	In-Kind	Total
(1) Personnel: (1a) Salaries & Wages (1b) Fringe Benefits				
(2) Materials: (2a) Books (2b) Audiovisual				
(3) Equipment				
(4) Contractual Services				
(5) Travel				
(6) Supplies				
(7) Other Expenses:				
(8) Total				